

## **Guidelines for Directed Funding to Prepare Regional Flood Management Plans Frequently Asked Questions**

### **Who will lead the planning process if the region does not have a lead agency?**

The Department of Water Resources (DWR) is not currently aware of a situation where there is no regional lead agency. DWR plans to work with a regional lead who facilitates the regional collaboration in plan development. DWR plans to assist Regional Partners at meetings and workshops and will provide data and information for use in compiling Regional Flood Management Plans (RFMPs). DWR will take a more active role in RFMP development in the regions where Regional Partners do not have the resources to take the lead in developing their own RFMPs. Even with DWR in a more active role, implementing, operating and maintaining flood management agencies within the region shall be engaged in plan development for developing a common vision within the region. Local interests will be expected to participate in all aspects of the regional planning process.

### **How will DWR handle proposed regional projects that are not consistent with the improvement framework outlined in the 2012 Central Valley Flood Protection Plan (CVFPP)?**

The State is dedicated to using an integrated approach to all flood management planning. The integrated approach is multi-objective, cost effective, inclusive of local entities, and uses a flood risk management approach consistent with the State Systemwide Investment Approach (SSIA) as described in the CVFPP. From the State's perspective, RFMPs should address flood management issues in the region with long-term strategy, including identification of flood management challenges and corresponding management actions; how to plan and implement effective flood emergency response in the region; O&M strategies, including opportunities for consolidation of O&M in the region and a long-term approach for sustainable O&M funding; and management of the floodplains that includes land use priorities and environmental restoration. Such strategies should be supported by a reasonable Regional Financial Plan that spans the next 25 years. DWR's financial support will be directed to projects that fit within the CVFPP framework.

### **How much funding is available for each region to develop the RFMP?**

DWR has budgeted \$5 million for support of all regional planning. Funding for developing each RFMP will vary depending on the proposed scope of work and complexity of the regional issues.

**Will more specific criteria be developed to help guide the Regional Planning process?**

As described in the CVFPP, the State is interested in multi-benefit projects that provide the most flood risk reduction benefits and use an integrated, systemwide approach to flood management. Regional Partners are encouraged to refer to the CVFPP, the RFMP Project Management Plan, and the Guidelines for Directed Funding for additional guidance. In particular, the RFMP Project Management Plan provides minimum elements that should be included. Instead of providing an additional specific list of criteria, DWR prefers a collaborative approach that involves meeting with Regional Partners and crafting any additional guidance in partnership with local agencies as needed to prepare RFMPs.

**How can Regional Plans be developed consistent with the two State basin-wide feasibility studies if these feasibility studies are not available prior to completion of the RFMPs?**

As described in the CVFPP, the basin-wide feasibility studies will refine the options and elements included in the SSIA for determining their feasibility and corresponding state participation in implementation, with initial focus on system elements.

DWR intends to coordinate the activities of the basin-wide feasibility studies and RFMPs in a way that the two planning processes inform each other and are properly integrated. As such, the preparation of the RFMPs is necessary to support development of the detailed basin-wide feasibility studies and 2017 CVFPP and to provide detailed information for preparation of a long-term Financing Plan for implementing the CVFPP. To ensure integration of these flood management planning activities, DWR will attend and participate in Regional Working Group meetings and workshops to provide up-to-date information about DWR activities, including basin-wide feasibility studies, RFMPs, and related U.S. Army Corps of Engineers studies.

The State intends to continue funding for flood system improvements and levee repairs while RFMPs and basin-wide feasibility studies are being developed.

**Can this funding be used for projects implementation and construction?**

Directed funding for regional planning will only be used for development of the RFMPs. While some people may connect RFMPs with project implementation funding, these are two separate processes that will go forward simultaneously along two *parallel* paths. RFMPs will identify specific projects to be implemented during the next 25 years to make the region “flood safe.” However, project funding will be a competitive process conducted through regular “project solicitation packages” prepared by DWR when funding is available. Regions compete for funding of their projects through the Project Solicitation Process (PSP). The guidelines and

criteria for project funding are presented in the PSPs developed for various flood management programs.

### **Will funding recipients submit invoices monthly or quarterly?**

Lead Agencies will determine invoicing frequency based on the regional needs. Invoices are to be submitted at least quarterly and no more often than monthly.

### **What information should be submitted along with the invoice?**

Each invoice packet should include the following:

- Records of expenditures incurred during the invoice period.
- Description of work activities during the invoice period.
- Planned activities for the following invoice period.
- Status of the work relative to the agreed upon RFMP schedule and budget.

### **What activities are eligible for funding?**

Funding may be used for developing, drafting, and reviewing the RFMP and Regional Working Group management activities. RFMP funding may also be used by the Funding Recipient to procure consulting services, if needed, to assist in preparation of the RFMP.

Eligible costs may include, but are not limited to, the following:

- Costs of planning and preparing each RFMP and related activities
- A proportionate share of reasonable overhead costs (generally, “reasonable overhead costs range from 5 to 10% of total activity costs)

Ineligible costs include, but are not limited to:

- Costs for work incurred prior to receiving a letter of commitment from DWR
- Meals
- Equipment
- Training
- Travel unrelated to RFMP activities
- Design work
- Feasibility studies, except as specifically allowed under these Guidelines to prepare detailed cost estimates for the projects
- Flood risk reduction project implementation and construction

### **What deadlines should local agencies be aware of?**

There is no set deadline for the submittal of RFMP Directed Funding Application Packages. The application process will open once the final draft guidelines are published. Applications will be reviewed as they are received, and DWR will respond within 30 days of receipt of the Funding Application Package with determination about the adequacy and completeness of the application, and to initiate the process working with the Applicant towards reasonable adjustments or clarification.

DWR will then consider all completed applications for funding allocation. DWR intends to award the directed funds by December 2012. Final Regional Plans are expected to be finalized by DWR by December 2013.

### **What is considered a complete application?**

An application must be submitted by an eligible applicant. An eligible applicant is a California local public agency with responsibility for flood management in the region that is a part of the area protected by the facilities of the SPFC. The applicant must be willing to participate in, coordinate, and collaborate with other interested parties in the region that are participating in the development of their RFMP. The agency applying for funding should represent the interests of local flood management agencies and/or land use agencies in the region.

Applicants seeking funding under the RFMP program will prepare and submit a complete Funding Application Package to DWR. DWR intends to enter into a Funding Agreement with one public agency within each region that will take responsibility for preparing that region's RFMP. Only an applicant that files a complete Funding Application Package may become a Funding Recipient for funding under the RFMP Program. A sample Funding Application Package is provided in the Directed Funding Guidelines. The Funding Application Package shall include the following:

- Application Cover letter
- Application Cover sheet
- Applicant's Contact Information
- Proposed Itemized Budget
- Authorizing Resolution
- Authority and Capability Form
- Detailed Scope of Work and Task Breakdown

### **How are applications reviewed and evaluated?**

DWR will review submittals for completeness and applicant eligibility. Funding Application Packages that are not complete will not be further reviewed; however, the applicant will be notified and given the opportunity to submit a complete Funding Application Package.

### **How will funding distribution be determined across all nine regions?**

Funding recommendations will be based on the Applicant's scope of work and budget. Applicants are urged to develop the tasks they will need in order to complete their RFMP. The schedule should meet DWR's target completion deadline for regional plans of December 2013. All activities related to the overhead costs, administration, and supplies required for regional planning work should be reasonable, proportional, and directly related to regional planning activities.

### **What are the requirements relating to CEQA/NEPA?**

The Funding Recipient must demonstrate compliance with all applicable contracting laws. CEQA and NEPA are not applicable to or eligible for Directed Funding with regards to regional planning.

### **What if the Regional Lead cannot complete the work as specified in the Funding Agreement?**

DWR will monitor progress and may suspend all payments indefinitely if, in the opinion of DWR's Chief of the Division of Flood Management, it appears the Funding Recipient is in breach of the Funding Agreement to such an extent that ultimate achievement of RFMP objectives, articulated in the RFMP Project Management Plan, may be significantly compromised. If payments are suspended, the Funding Recipient will be given thirty (30) days to cure the breach or the Funding Agreement may be terminated by DWR. Decisions to suspend payments may be appealed to the Chief of the Division of Flood Management. If, for any reason, the Funding Recipient cannot complete the work agreed upon and documented in the Funding Agreement, DWR may, at its sole discretion:

- Cancel the Funding Agreement.
- Complete the work using its own resources.
- Contract with Sub-recipients or any other contractor to complete the work.

## Who are the DWR RFMP Managers?

The DWR RFMP Managers will attend and participate in Regional Working Group meetings and workshops to provide up to date information about DWR activities to the Working Group and to inform DWR flood management staff and the Planning Steering Committee on regional planning processes. They are the point of contact between the Directed Funding recipients and DWR. The DWR RFMP Managers will also serve as the DWR project managers for the RFMP effort. A list of the DWR RFMP Managers and their contact information is below:

<b>Flood Management Planning Region<sup>1</sup></b>	<b>DWR RFMP Manager</b>	<b>Office Number</b>	<b>Email</b>
Feather River	Michael Sabbaghian	916-574-1404	msabbagh@water.ca.gov
Upper Sac/Butte Basin	Noel Lerner	916-574-0384	nlerner@water.ca.gov
Mid-Sacramento	Noel Lerner	916-574-0384	nlerner@water.ca.gov
Lower Sacramento	Paul Marshall	916-574-1474	marshall@water.ca.gov
Delta-North	Kelly Briggs	916-574-1351	kbriggs@water.ca.gov
Delta-South	Mark List	916-574-0319	mllist@water.ca.gov
Lower San Joaquin	Michael Sabbaghian	916-574-1404	msabbagh@water.ca.gov
Mid-San Joaquin	Paul Romero	559-230-3328	promero@water.ca.gov
Upper San Joaquin	Paul Romero	559-230-3328	promero@water.ca.gov

1. As defined by the 2012 CVFPP

## How will DWR respond to multiple applications from one flood management planning region?

DWR prefers receiving one Directed Funding Application Package per flood management planning region, and will only approve one Directed Funding application per region. DWR encourages local entities to work together in forming their Regional Working Groups, and selecting a lead agency that is willing to lead and represent the flood management needs of the region. Should DWR receive more than one Application Package from any individual region, DWR will work with the applicants to seek Regional Working Group formulation before its finalization of funding allocation.

## Why are the proposed RFMP boundaries different than Integrated Regional Water Management (IRWM) regional boundaries?

The flood management planning regions are based on Flood Protection Zone (FPZ) analysis which identifies areas currently protected by facilities of the State Plan of Flood Control, and that share similar existing land use conditions in a general sense. As stated in the 2012 CVFPP, FPZs are the smallest unit for gathering and organizing data and evaluating the costs and benefits of

proposed flood management actions as they relate to overall systemwide improvements. The flood management planning regions differ from IRWM regions as currently defined because of the considerations of flood hydrologic and hydraulic conditions. From a regional integration viewpoint, DWR encourages Regional Partners seek involvement of local IRWM partners for collaboration, leverage of resources, and further considerations of regional governance structure for coherent planning process.

### **Who is the DWR RFMP Program point of contact?**

For questions regarding RFMP Directed Funding application process, local agencies should contact:

Mr. David Wright, Chief  
Local Levee Assistance Program  
Division of Flood Management  
California Department of Water Resources  
3464 El Camino Avenue, Suite 200  
Sacramento, CA 95821-9000  
(916) 574-1191  
[dwright@water.ca.gov](mailto:dwright@water.ca.gov)